

74622-010  
Serial No.: 09/476,448  
Filed: December 30, 1999

**AMENDMENTS TO THE CLAIMS**

This listing of claims will replace all prior versions, and listings, of claims in the application:

1-64. (Canceled)

65. (New) A computer-based system for trading financial instruments comprising:

a brokerage interface through which a client can, using a client computer, transmit and receive information such as client account information, quote information, assistance information to assist the client at the client computer in using the brokerage interface, and client order information;

a server connected to the brokerage interface for receiving from and transmitting to the brokerage interface information such as client account information, quote information, and client order information;

a mainframe computer connected to the server;

a trading system connected to the mainframe computer; and

a financial advisor computer connected to the mainframe computer,

wherein the mainframe computer is connected to the server, the trading system and the financial advisor computer for (1) transmitting to, and receiving from, either of the client computer or the financial advisor computer client information, associated with a particular client, that includes that client's account information and that client's order information, (2) determining whether that client's orders should be approved for execution based on application of predetermined, customizable business rules to that client's received account information and that client's received order information, and (3) executing approved client orders.

74622-010

Serial No.: 09/476,448

Filed: December 30, 1999

66. (New) The system of claim 65, wherein the assistance information is provided to the client through a trade wizard helper program.

67. (New) The system of claim 65, wherein the predetermined, customizable business rules are designed to limit the client's risk in trading financial instruments and can be applied in real time.

68. (New) The system of claim 65, wherein the mainframe computer transmits an alert to the financial advisor computer when a client of a user of the financial advisor computer has entered an order to trade a financial instrument.

69. (New) The system of claim 68, wherein the mainframe computer transmits an alert to financial advisor computer when a trade of client of a user of the financial advisor computer has been executed or blocked that includes information concerning a price at which the trade was executed or reasons why the trade was blocked.

70. (New) The system of claim 69, wherein the alert is transmitted to the financial advisor computer in real-time.

71. (New) The system of claim 68, wherein the alert is transmitted to the financial advisor in real-time.

74622-010

Serial No.: 09/476,448

Filed: December 30, 1999

72. (New) The system of claim 71, wherein the user of the financial advisor computer can make corrections to the information that the client transmits from the client computer to the brokerage interface.

73. (New) The system of claim 72, wherein the user of the financial advisor computer can make the corrections in real-time.